

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of

Yotaro HATAMURA et al.

Serial No. NEW

: Attn: Application Branch

Filed August 30, 2001

: Attorney Docket No. 2001\_1227

✓ SUBSTRATE WITH MICRO-PROTRUSIONS  
AND METHOD OF MAKING THEREOF  
**(Rule 1.53(b) Continuation**  
of Serial No. 08/964,206,  
Filed November 4, 1997)

Jc930 U S PTO  
08/964,206  
08/30/01



INFORMATION DISCLOSURE STATEMENT

Assistant Commissioner for Patents,  
Washington, DC 20231

Sir:

Pursuant to the provisions of 37 CFR 1.56, 1.97 and 1.98, Applicants request consideration of [X] the references listed on attached form PTO-1449 and/or [] the additional information identified below in paragraph 3. A legible copy of each reference listed on the form PTO-1449 and each U.S. patent application listed below is enclosed, except a copy is not provided for each reference previously cited by or submitted to the Patent Office in prior parent application Serial No. 08/964,206.

1a. [X] This Information Disclosure Statement is submitted:

within three months of the filing date (or of entry into the National Stage) of the above-entitled application, or

before the mailing date of the first Office Action on the merits,

and thus no certification and/or fee is required.

1b.  This Information Disclosure Statement is submitted  
after the events of above paragraph 1a and prior to the mailing date of a final Office  
Action or a Notice of Allowance or an action which otherwise closes prosecution in the  
application, and thus:

- (1)  the certification of paragraph 2 below is provided, **or**
- (2)  the fee of \$180.00 specified in 37 CFR 1.17(p) is enclosed.

1c.  This Information Disclosure Statement is submitted:  
after the mailing date of a final Office Action or Notice of Allowance or action which  
otherwise closes prosecution in the application, and prior to payment of the issue fee, and  
thus:  
**the certification of paragraph 2 below is provided, and**  
**the fee of \$180.00 specified in 37 CFR 1.17(p) is enclosed.**

2. It is hereby certified
  - a.  that each item of information contained in this Information Disclosure Statement  
was first cited in any communication from a foreign patent office in a counterpart  
foreign application not more than three months prior to the filing of the  
Statement, or
  - b.  that no item of information contained in the Information Disclosure Statement  
was cited in a communication from a foreign patent office in a counterpart  
foreign application and, to the knowledge of the person signing the certification  
after making reasonable inquiry, was known to any individual designated in  
§1.56(c) more than three months prior to the filing of the Statement.
3.  Consideration of the following list of additional information (including any copending or  
abandoned U.S. application, prior uses and/or sales, etc.) is requested.

4. For each non-English language reference listed on the attached form PTO-1449, reference is made to:

- a full or partial English language translation submitted herewith,
- a foreign patent office search report (in the English language) submitted herewith,
- the concise explanation contained in the specification of the present application at page ,
- the concise explanation set forth in the attached English language abstract,
- the concise explanation set forth below or on a separate sheet attached to the reference:

5.  A foreign patent office search report citing one or more of the references is enclosed.

Respectfully submitted,

Yotaro HATAMURA et al.

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